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PTO/SB/21 (08-00)

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1745

# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number

09/974,936

Filing Date

October 10, 2001

First Named Inventor

Craig P. Jacobson

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TC 170

Group Art Unit

1745

Examiner Name

Kalafut

Total Number of Pages in This Submission

6

Attorney Docket Number

IB-1405

**ENCLOSURES (check all that apply)**

- Fee Transmittal Form
- Fee Attached
- Amendment / Reply
- After Final
- Affidavits/declaration(s)
- Extension of Time Request
- Express Abandonment Request
- Information Disclosure Statement
- Certified Copy of Priority Document(s)
- Response to Missing Parts/ Incomplete Application
- Response to Missing Parts under 37 CFR 1.52 or 1.53

- Assignment Papers (for an Application)
- Drawing(s)
- Licensing-related Papers
- Petition
- Petition to Convert to a Provisional Application
- Power of Attorney, Revocation Change of Correspondence Address
- Terminal Disclaimer
- Request for Refund
- CD, Number of CD(s) \_\_\_\_\_

- After Allowance Communication to Group
- Appeal Communication to Board of Appeals and Interferences
- Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
- Proprietary Information
- Status Letter
- Other Enclosure(s) (please identify below):
  - 1. 3.73(b) statement
  - 2. 3 assignments

Remarks

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**Firm  
or  
Individual name

Charles R. Nold; Lawrence Berkeley National Laboratory

Signature

C R Nold

Date

Aug 19, 2003

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date:

8/19/2003

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Charles R. Nold

Signature

C R Nold

Date

8/19/2003

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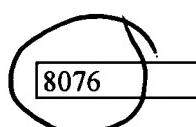
## POWER OF ATTORNEY OR AUTHORIZATION OF AGENT

Application Number	09/974,936
Filing Date	October 10, 2001
First Named Inventor	Craig P. Jacobson
Title	Electrochemical Device and .....
Group Art Unit	2812 1745
Examiner Name	not yet assigned Kalafut
Attorney Docket Number	IB-1405

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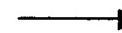

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I am the:

Applicant/Inventor.

Assignee of record of the entire interest. See 37 CFR 3.71.

Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).

### SIGNATURE of Applicant or Assignee of Record

Name      David J. Aston, Chief Patent Counsel, Berkeley National Lab.

Signature

Date

6-25-02

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below\*.

\*Total of \_\_\_\_\_ forms are submitted.

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**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: Steven J. Visco, et al.Application No./Patent No.: 09/974,936Filed/Issue Date: October 10, 2001Entitled: Electrochemical Device and Process of MakingThe Regents of the University of California, a University

(Name of Assignee)

(Type of Assignee, e.g. corporation, partnership, university, government agency, etc.)

states that it is:

- the assignee of the entire right, title, and interest; or
- an assignee of less than the entire right, title and interest.

The extent (by, percentage) of its ownership interest is \_\_\_\_\_ %

in the patent application/patent identified above by virtue of either:

- A.  An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

- B.  A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
 The document was recorded in the United States Patent and Trademark Office at  
 Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

2. From: \_\_\_\_\_ To: \_\_\_\_\_  
 The document was recorded in the United States Patent and Trademark Office at  
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3. From: \_\_\_\_\_ To: \_\_\_\_\_  
 The document was recorded in the United States Patent and Trademark Office at  
 Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

Additional documents in the chain of title are listed on a supplemental sheet.

- Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

6-25-02

Date

David J. Aston

Typed or printed name

David J. Aston

Signature

Chief Patent Counsel, Lawrence Berkeley National Laboratory

Title

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TC 1700

## **ASSIGNMENT**

LBNL Case No. IB-1405

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S)

1. **Steven J. Visco**

hereby sells, assign(s) and transfer(s) to ASSIGNEE, The Regents of The University of California, a California Corporation, having its statewide administrative offices located at 1111 Franklin Street, 12<sup>TH</sup> Floor, Oakland, CA 94607-5200 and the successors, assigns and legal representatives of the ASSIGNEE all of its right, title and interest for the United States and its territorial possessions and in all foreign countries in and to, any and all improvements which are disclosed in the invention entitled:

**TITLE: ELECTROCHEMICAL DEVICE AND PROCESS OF MAKING**

and which is found in U.S. application serial no. 09/974,936 filed on, 10/10/2001.

and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

ASSIGNOR(S) hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR(S) further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation, or proceeding relating thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or enforce said application, said invention and said Letters Patent and said equivalents thereof which may necessary or desirable to carry out the purposes thereof. Any attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.

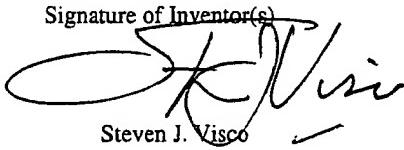
AND the ASSIGNOR(S) requests the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE, The Regents of The University of California.

Executed this:

*F* <sup>th</sup>  
day of

Nov., 2002

Signature of Inventor(s)

  
Steven J. Visco

## ASSIGNMENT

LBNL Case No. IB-1405

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S)

1. **Lutgard C. De Jonghe**

hereby sells, assign(s) and transfer(s) to ASSIGNEE, The Regents of The University of California, a California Corporation, having its statewide administrative offices located at 1111 Franklin Street, 12<sup>TH</sup> Floor, Oakland, CA 94607-5200 and the successors, assigns and legal representatives of the ASSIGNEE all of its right, title and interest for the United States and its territorial possessions and in all foreign countries in and to, any and all improvements which are disclosed in the invention entitled:

### **TITLE: ELECTROCHEMICAL DEVICE AND PROCESS OF MAKING**

and which is found in U.S. application serial no. **09/974,936** filed on, **10/10/2001**.

and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

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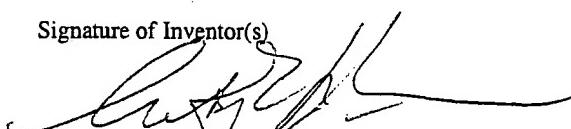
ASSIGNOR(S) further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation, or proceeding relating thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or enforce said application, said invention and said Letters Patent and said equivalents thereof which may necessary or desirable to carry out the purposes thereof. Any attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.

AND the ASSIGNOR(S) requests the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE, The Regents of The University of California.

Executed this:

Signature of Inventor(s)

14<sup>th</sup> day of January, 2002

  
Lutgard C. De Jonghe

## ASSIGNMENT

LBNL Case No. IB-1405

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1. Craig P. Jacobson

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and which is found in U.S. application serial no. 09/974,936 filed on, 10/10/2001.

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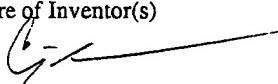
ASSIGNOR(S) further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation, or proceeding relating thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or enforce said application, said invention and said Letters Patent and said equivalents thereof which may necessary or desirable to carry out the purposes thereof. Any attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.

AND the ASSIGNOR(S) requests the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE, The Regents of The University of California.

Executed this:

14 <sup>th</sup>  
day of January, 2002

Signature of Inventor(s)

  
Craig P. Jacobson